DWD Regulatory Oversight & Compliance Division: PY2019 Risk Assessment Tool

Purpose

This Risk Assessment Tool (RAT) is one of several instruments used by the DWD ROC Division in fulfilling the monitoring requirements specified in WIOA and OMB Uniform Guidance (2 CFR Part 200). The RAT is designed to assist with the evaluation of each WDB's risk of noncompliance with state and federal statutes, regulations, and terms and conditions of subawards. This helps ensure subawards have proper payments for reasonable, necessary, allocable, and authorized purposes to achieve performance goals.

Directions

ROC Division staff will assign a Pre-Monitoring and Post-Monitoring score for each Risk Factor in each of the four (4) Risk Categories, then tally the scores to determine the WDB's Overall Pre-Monitoring and Post-Monitoring Risk Rating. Pre-Monitoring assessment is based on the ROC Division's knowledge of, history with, and learned information about the WDB, its service providers and contractors, and its programs and activities, and is conducted prior to the on-site monitoring visit to help guide the scope of monitoring of each WDB. Post-Monitoring assessment is based on information gathered during the monitoring process, which may impact or mitigate a Pre-Monitoring Risk Factor score, and is conducted at the close of monitoring. Appropriate explanation(s), as warranted, will be provided within the Comprehensive Monitoring Report.

LWDA	?????
WDB Name	?????
Grant Recipient	?????
Staff-to-the-Board	?????
Fiscal Agent	?????
One-Stop Operator	?????
Service Provider(s)	?????

Bruce Hall, Larry Upchurch, Jennifer Long,			
Jennifer	Jennifer Greinmann, Tom Brown & Carmen Upchurch		
LOW / M	10D / HIGH RISK		
0	LOW / MOD / HIGH RISK		
0	LOW / MOD / HIGH RISK		
	Jennifer		

	Point	Percentage		Risk Category	Pre-Monitoring Total	Post-Monitoring Total	
Risk Range	Range	Range		Risk Score	1 - Reorganization	0	0
Criteria	0-12 points	≤ 10% = Low			2 - Grant Administration	0	0
(out of max 70 pts)	13-24 points	> 10% - 20% = Moderate		Summary	3 - WDB Governance	0	0
	25+ points	> 20% = High			4 - WIOA Performance	0	0

	<u>Risk Factor Rating</u>							
	0 • Zero changes in MGT/FA/OSO/SP							
1 • 1 major change in MGT/FA/OSO/SP								
	2	• 2+ major chan	ges in MGT/FA/OSO/SP					
	<u>Risk Factor</u>		<u>Risk Factor Description</u>	<u>Risk Score</u>				
1	Staff-to-the-Board	Pre-RAT:		0				
_	Starr-to-trie-Board	Post-RAT:		0				
1	Fiscal Agent	Pre-RAT:		0				
	Fiscal Agent	Post-RAT:		0				
2	One Step Operator	Pre-RAT:		0				
3	One-Stop Operator	Post-RAT:		0				
	Comico Drovidor(s)	Pre-RAT:		0				
4	Service Provider(s)	Post-RAT:		0				
- 14/	Morkona Staff Turnayan	Pre-RAT:		0				
Э	Workone Staff Turnover	Post-RAT:		0				
			Pre-Monitoring Total 0 Post-Monitoring Total	0				

RISK CATERGORY 1: REORGANIZATION SINCE PY2018

		Pre-RAT:			i	0					
5	Workone Staff Turnover	Post-RAT:				0					
		FUSI-RAT:		Pre-Monitoring Total 0	Post Monitoring Total	_					
				Fre-Worldoning Total 0	Post-Monitoring Total	0					
			DICK CATED CODY 2 CDANT ADAMAGED	ATION							
	Distriction 2011	Distriction Control	RISK CATERGORY 2: GRANT ADMINISTRA	ATION							
		Risk Factor Ratin									
	0		nts/programs & Zero PY2018 concerns & Zero PY2018 findings & Zero PY2018 Sir								
		• 1-2 new grants/programs -or- 1-2 PY2018 concerns -or- 1 PY2018 resolved minor compliance issue/finding (no questioned costs)									
		• 3+ new grants/programs -or- 3+ PY2018 concerns -or- 2+ PY2018 resolved minor compliance issues/findings (no questioned costs) -or- 1+ resolved PY2018 compliance issue(s)/fin									
w/questioned costs -or- 1+ unresolved compliance issue or finding(s)											
	<u>Risk Factor</u>		<u>Risk Factor</u>	<u> Description</u>		<u>Risk Score</u>					
(A d	Pre-RAT:				0					
ь	Administration	Post-RAT:				0					
		Pre-RAT:				0					
7	EO & Nondiscrimination	Post-RAT:				0					
		Pre-RAT:				0					
8	Fiscal Management	Post-RAT:				0					
\vdash						_					
9	New Grants/Programs	Pre-RAT:				0					
		Post-RAT:				0					
10	Prior DWD Monitoring Risk	Pre-RAT:				0					
		Post-RAT:				0					
11	Prior DWD Findings	Pre-RAT:				0					
	THOI DAAD I IIIUIII go	Post-RAT:				0					
12	Drior Codorol Cindings	Pre-RAT:				0					
14	Prior Federal Findings	Post-RAT:				0					
40		Pre-RAT:				0					
13	Program Operations	Post-RAT:				0					
		Pre-RAT:				0					
14	Reporting to DWD	Post-RAT:				0					
\vdash						0					
15	Single Audits	Pre-RAT:				_					
\vdash		Post-RAT:				0					
16	Subrecipient Monitoring	Pre-RAT:				0					
		Post-RAT:				0					
17	SME Employer Engagement	Pre-RAT:				0					
		Post-RAT:				0					
1Ω	SME Federal Bonding	Pre-RAT:				0					
		Post-RAT:				0					
10	SME Field Ops - Admin &	Pre-RAT:				0					
13	Personnel	Post-RAT:				0					
		Pre-RAT:				0					
20	SME Field Ops - Budget	Post-RAT:				0					
		Pre-RAT:				0					
21	SME Field Ops - JVSG	Post-RAT:				0					
		Pre-RAT:				0					
22	Foreign Labor Cert H2A/H2B	Post-RAT:				0					
\vdash											
23	SME Grant Acctg - Cash Draws	Pre-RAT:				0					
		Post-RAT:				0					
24	SME Grant Acctg - Fin	Pre-RAT:				0					
	Reporting	Post-RAT:				0					
25	SME ICC & Systems	Pre-RAT:				0					
	5 100 a 5y3tem3	Post-RAT:				0					
26	SME Legislative Affairs	Pre-RAT:				0					
20	SIVIC LEGISIALIVE ATTAITS	Post-RAT:				0					
	21.45.14.1.2	Pre-RAT:				0					
	SME Mgt Srvcs - Inventory	Post-RAT:				0					
	SME Mgt Srvcs - Property	Pre-RAT:				0					
28	Leases	Post-RAT:				0					
		Pre-RAT:									
29	SME Mktg & Comm					0					
		Post-RAT:				0					

		Pre-RAT:						0			
	SME MSFW	Post-RAT:						0			
31	SME Perf & BI - Data Validation	Pre-RAT: Post-RAT:						0			
	SME Perf & BI - WIOA & WP	Pre-RAT:						0			
22	CME Dorf 9. DL DDM	Post-RAT: Pre-RAT:						0			
	SME Perf & BI - RPM	Post-RAT: Pre-RAT:						0			
34	SME Policy	Post-RAT:						0			
35	SME Procurement	Pre-RAT: Post-RAT:						0			
36	SME Rapid Response	Pre-RAT:						0			
		Post-RAT: Pre-RAT:						0			
3/	SME RESEA	Post-RAT:						0			
38	SME SAE & SEAL	Pre-RAT: Post-RAT:						0			
39	SME TAA	Pre-RAT: Post-RAT:						0			
40	SME WIOA Surveys	Pre-RAT:						0			
	·	Post-RAT: Pre-RAT:						0			
41	SME WIOA Youth						Dra Manitaring Total O Post Manitaring Total	0			
								U			
	Risk Factor Rating	Risk Factor Ratio	ina Description		RISK C	CATERGORY 3: V	VDB GOVERNANCE				
	0	• Zero concerns	w/vacancies, or				n, infrastructure, IFA, etc.				
							ocal plan implementation, infrastructure, MOUs/IFAs, etc. ocal plan implementation, infrastructure, MOUs/IFAs, etc.				
,	<u>Risk Factor</u>			, , , , , , ,	, 5	. 5,	Risk Factor Description	<u>Risk Score</u>			
	WDB Composition & Structure	Pre-RAT: Post-RAT:						0			
43	WDB Staff Organizational Structure	Pre-RAT:						0			
11	WDB Oversight of	Post-RAT: Pre-RAT:						0			
	Operations/OSO/SPs Review of Local Plan	Post-RAT: Pre-RAT:						0			
45	Review of Local Plan https://www.in.gov/dwd/lp.htm	Post-RAT:						0			
	WDB Website	Pre-RAT: Post-RAT:						0			
47	WDB Minutes, Bylaws &	Pre-RAT:						0			
-	Articles Contracts & MOUs	Post-RAT: Pre-RAT:						0			
70	Contracts & MOUS	Post-RAT:					Pre-Monitoring Total 0 Post-Monitoring Total	0			
								<u> </u>			
RISK CATERGORY 4: WIOA PERFORMANCE											
	<u>Risk Factor Rating</u>	Risk Factor Rati	ing Description								
	0	• 91-100% of Ne	egotiated Goal								
	0		egotiated Goal iated Goal								
	0 1	91-100% of Ne90% of Negoti	egotiated Goal iated Goal	Actual			Risk Factor Description	Risk Score			
	0 1 2	• 91-100% of Ne • 90% of Negoti • <90% of Nego	egotiated Goal iated Goal tiated Goal R?????	<u>Actual</u>	Goal	Met?		<u>Risk Score</u>			
	0 1 2	• 91-100% of Ne • 90% of Negoti • <90% of Nego	egotiated Goal iated Goal itiated Goal	<u>Actual</u>							
49	0 1 2 <u>Risk Factor</u>	• 91-100% of Ne • 90% of Negoti • <90% of Nego	egotiated Goal iated Goal tiated Goal R????? Statewide R????? Statewide	<u>Actual</u>				Risk Score			
49	0 1 2 Risk Factor WIOA	• 91-100% of Ne • 90% of Negoti • <90% of Nego	egotiated Goal iated Goal tiated Goal R????? Statewide R????? Statewide R????? Statewide R?????	<u>Actual</u>							
49	0 1 2 Risk Factor WIOA	• 91-100% of Ne • 90% of Negoti • <90% of Negori ADULT DW	egotiated Goal iated Goal tiated Goal R????? Statewide R????? Statewide R????? Statewide R?????	<u>Actual</u>							
	0 1 2 Risk Factor WIOA Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT	R????? Statewide R????? Statewide R????? Statewide R????? Statewide R????? Statewide R?????	<u>Actual</u>				0			
49	0 1 2 Risk Factor WIOA Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW	egotiated Goal iated Goal tiated Goal R????? Statewide R????? Statewide R????? Statewide R????? Statewide R????? Statewide R????? Statewide R?????	<u>Actual</u>							
	0 1 2 Risk Factor WIOA Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	<u>Actual</u>				0			
	0 1 2 Risk Factor WIOA Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R????? Statewide R????? Statewide R????? Statewide R????? Statewide R????? Statewide R?????	<u>Actual</u>				0			
	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT DW	egotiated Goal liated Goal liated Goal tiated Goal R????? Statewide R?????	Actual				0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT DW	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT ADULT DW ADULT ADULT DW ADULT ADULT DW ADULT ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50 51 52 52	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT ADULT ADULT DW ADULT ADULT DW ADULT ADULT ADULT ADULT ADULT	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0			
50	0 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0			
50 51 52 52	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT DW YOUTH ADULT ADULT ADULT DW ADULT ADULT DW ADULT ADULT ADULT ADULT ADULT	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0			
50 51 52 52	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0			
50 51 52 53	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT	egotiated Goal liated Goal liated Goal liated Goal R????? Statewide R?????	Actual				0 0			
50 51 52 52	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH	egotiated Goal iated Goal tiated Goal tiated Goal R???? Statewide R????	Actual				0 0			
50 51 52 53	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT	egotiated Goal iated Goal itiated Goal tiated Goal R???? Statewide R????	Actual				0 0			
50 51 52 53	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0			
50 51 52 54	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains Wagner-Peyser Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT ADULT	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0 0			
50 51 52 53	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains Wagner-Peyser Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0			
50 51 52 54	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains Wagner-Peyser Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • <90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT ADULT	egotiated Goal liated Goal liated Goal liated Goal R????? Statewide R?????	Actual				0 0 0			
50 51 52 53	O 1 2 Risk Factor WIOA Employment Q2 After Exit WIOA Employment Q4 After Exit WIOA Credential Attainment WIOA Median Earnings WIOA Measurable Skill Gains Wagner-Peyser Employment Q2 After Exit	• 91-100% of Negoti • 90% of Negoti • 90% of Negoti • <90% of Negoti ADULT DW YOUTH ADULT DW	egotiated Goal iated Goal tiated Goal tiated Goal R????? Statewide R?????	Actual				0 0 0			

56	Wagner-Peyser	DW	R??????			0	T
30	Median Earnings	UVV	Statewide			U	
		YOUTH	R?????				
		YOUTH	Statewide				
		ADULT	R?????				1
		ADULI	Statewide				
c 7	REGIONAL	DW	R?????			0	
57	Client Engagement	DW	Statewide			0	
		VOLITII	R?????				
		YOUTH	Statewide				
		ADILLE	R?????				1
		ADULT	Statewide				
го	REGIONAL	DW	R?????				
58	Job Connectedness	DW	Statewide			0	
		VOLITII	R?????				
		YOUTH	Statewide				
		ADILLT	R?????				1
		ADULT	Statewide				
Ε0	REGIONAL	DW	R?????			0	
59	Wage Change	DW	Statewide			0	
	1	VOLITU	R?????				
		YOUTH	Statewide				

Revised July 2019

Risk Assessment Total Score